



PROBATION AND PAROLE BUREAU STANDARD OPERATING PROCEDURES

Procedure No.: P&P 40-5	Subject: CASE RECORD AUDITING
Chapter 40: OFFENDER RECORDS	Page 1 of 3
Signature: /s/ Mary Fay	Revision Date:
	Effective Date: 10/29/01

I. BUREAU DIRECTIVE: Probation and Parole Bureau supervisory staff will conduct regular audits on all active offender case records to ensure that staff complies with procedures and staff performance is in accordance with all applicable standards and statutory requirements.

II. AUTHORITY:

53-1-203, MCA Powers and Duties of the Department of Corrections.
DOC 1.5.5 Case Records Management
DOC 1.5.7 Case Records Auditing

III. DEFINITIONS:

Audit means a process by which the Regional Administrator and /or the Probation and Parole Officer II reviews adult offender files to ensure supervision standards are met and files are organized according to applicable Bureau procedures.

Case Record means the paper or computerized offender record created and maintained by Probation and Parole Officers. The Case Record includes those records required in P&P 40-3, Uniform File Organization for Probation and Parole Field Files, Management Information System records, and offender information maintained in Adult Chronological files.

IV. PROCEDURES:

The Case Record audit system ensures that Adult Probation and Parole Officers are meeting job performance standards and complying with applicable procedures. Audits are used to identify personnel or case record management system problems and reach resolutions. Audits will be conducted in a manner that reinforces the mission of the Bureau and assists officers to enhance job performance.

A. The offender file audits will ensure that computer and/or paper records are current and that appropriate and accurate materials are being entered and maintained in offender files. Every effort will be made to ensure compliance with Bureau, Department, federal and state guidelines.

B. The content of all offender case records will be maintained in compliance with P&P 40-3, Uniform File Organization for Probation and Parole Field Files.

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Case record auditors will refer to P&P 40-6, Case Records Management to ensure that the officers are properly storing and handling offender records.

C. Auditing Guidelines:

All Probation and Parole Officers will be audited on 5% of their caseloads using the following schedule: Adult Probation and Parole Officers - every 8 weeks and ISP Officers - every 6 weeks. Audits will verify whether the supervision standards are being met and reassessments are current.

Adult Case Records (field files) include, but are not limited to, the following: Sentencing court orders plus other legal documents, Federal Firearms Form, updated Adult Chronological Face Sheet, current chronologicals, monthly reports, signed Rules of Probation and Parole or ISP, Supervision Fees Form, UA results and, when available, Pre-Sentence Investigation, Sexual & Violent Offender Registration Form and Travel Permits. Forms usage will be reviewed to determine if the appropriate and approved forms are being used.

D. Audit Findings:

Supervisors will review audit results with the officer assigned to the case record. The audit form will specifically identify deficiencies that require rectifying. If a deficiency was noted in a previous audit and the deficiency was not corrected, the reasons will be noted. If additional resources are needed to correct an audit deficiency, the audit form will identify them. Audit results will be used in annual Performance Evaluations.

E. Audit Process:

The Probation and Parole Officer is notified of upcoming case file audit by the Regional Administrator/PO II.

Random offender file and automation entries are audited by the Regional Administrator/PO II using P&P 40-5 (A) Case Record Audit Form-P&P or P&P 40-5 (B) Case Record Audit Form-ISP to determine if standards are being met and procedures are being followed.

The original audit form is kept and a copy is given to the officer. The Regional Administrator/PO II will discuss audit findings with the officer. Cases not meeting standards will be noted on audit form. The officer is given opportunity to discuss/explain any deficiencies. Corrective action, if necessary will be noted to rectify deficiencies.

If corrective action is required, the Probation and Parole Officer has five (5) working days to respond in writing or verbally to the action taken.

The Regional Administrator/PO II rechecks files “not meeting standards” to ensure appropriate action has been taken to correct deficiencies.

All audit forms will be maintained by the Regional Administrator/PO II in a three ring binder used specifically for audits.

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- V. **CLOSING:** Questions concerning this procedure shall be directed to the Regional Administrator or Probation and Parole Officer II.

Form

P&P 40-5 (A) Case Record Audit Form-P&P
P&P 40-5 (B) Case Record Audit Form-ISP